


Mariposa County is requesting participation in the Enhanced Anti-Fraud Program and will submit a Plan and Data, as described, by November 1, 2009. Mariposa County will implement this plan within sixty (60) days of receipt of funding.

Board of Supervisor Approval

Approved on December 1, 2009 by the County Board of Supervisors

Name of Approver: Brad Aborn

Signature 

Name of County District Attorney Representative: Robert Brown, DA.

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IHSS Overpayments/Underpayments

The Adult Services Unit has implemented the following procedures for identification of overpayments/underpayments in the IHSS program in setting forth a plan to reduce the instances of both:

The Adult Services unit supervisors review the monthly management reports for the IHSS program, including the "Over 300 Hours" report. The supervisors will note on all fraud indicators present in the reports. The supervisors will discuss the indicators with the appropriate social worker and make the referrals to the Program Integrity Unit (PIU). The PIU will, as appropriate, refer cases to the Special Investigations Unit (SIU) using the current fraud referral form.

The Adult Services unit works very closely with providers and recipients to be sure that program regulations and requirements are adhered to and that they understand the consequences of fraudulent activities. Total fraud referrals over the past five years only total 14. This represents less than 3% of total paid providers. See Enclosure D for data.

As appropriate, the Mariposa County PIU/SIU will provide the calculations for all instances of fraud investigation based overpayments to the District Attorney Office (DAO). The DAO will also track and report, as required, the enforcement of fraud based IHSS provider deductions, Court Ordered restitution (including fees, fines and penalties).

Fraud Referrals/Outcomes

A Policy and Procedure Guide will be implemented for this program between the Adult Services unit, PIU/SIU and the DAO. This guide will be a formal documentation of the existing referral process (as outlined under Current/Proposed Activities) as well as proposed enhancements that will be implemented with this funding.

The Policy and Procedure Guide will set forth a common goal/program integrity statement, give a definition of fraud and explain the sources of fraud referrals. The Guide will set out the specific procedures from the PIU/SIU, along with DAO procedures for receiving IHSS fraud referrals from sources outside of the Human Services Department (HSD).

DAO procedures for IHSS fraud investigation will be also set forth in the Guide. Communication among the DAO, Adult Services, PIU/SIU staff is paramount in establishing program integrity.

The Guide will set forth procedures for statistical data collection by the PIU/SIU unit and the DAO. The data collected will be forwarded to the California Department of Social Services (CDSS) on a regular basis.

Referrals to DHCS are only made after the PIU/SIU confirm that the suspected fraud is

valid and warrants investigation. All information, along with backup documentation to support the referral, is accumulated at the county level pending DHCS visit to the county. These visits are scheduled at a minimum of once a quarter. DHCS investigators are accompanied by PIU/SIU staff when doing investigative work in Mariposa County.

The PIU/SIU will collect data on all referrals including the number of fraud referrals and their sources, number of referrals assigned, the number completed and the status of each referral. DAO will maintain records of all collections and restitutions obtained by court order (including fines and penalties assessed) and IHSS collected deductions. The PIU/SIU and DAO will also collect data as required in establishing a county baseline for outcome comparison after July 2010. See Enclosure D page two for data.

Collaboration and Partnerships with District Attorney's Office (DAO)

The HSD-PIU/SIU and the DAO have been partners in welfare fraud prevention, investigation and prosecution for many years.

Very early on in the PIU/SIU investigation of fraud complaints, we found that public assistance fraud does not happen in a vacuum. People willing to commit fraud against one public assistance program, were highly likely to be committing fraud against all other assistance programs from which they were receiving aid. For this reason all investigations identify all aid programs that the persons are receiving and all aspect of fraud in these programs are contained in the one investigation.

Partnerships that have already been developed between the DAO and public assistance agencies has led to successful fraud referral protocols, strengthened communication and commitment between the partners. Most importantly the partnerships achieve greater levels of cooperation between public agencies that allow for better identification and prevention of public assistance fraud in Mariposa County.

County Collaboration and Partnerships with DHCS and CDSS:

The current relationship with DHCS is tied to quarterly visits by DHCS to Mariposa County to review referrals and do home visits. DHCS, in collaboration with the PUI/SIU, reviews all pertinent fraud referrals. Determinations are made as to the necessity of a home visit or review of DMV or DOJ records. The PIU/SIU also receives referrals from CDSS that have been reported via the "We Tip" line. All outcomes from these referrals are reported back to DHCS and CDSS using the DPA266 form.

Mechanism for Tracking/Reporting

The PIU/SIU currently uses an Access data base to track and report all fraud referrals. The PIU/SIU in collaboration with the DAO will continue to track fraud referrals and commit to report outcomes of its efforts to DHCS and CDSS as requested.

County's Current and Proposed Anti-fraud Activities

HSD-PIU/SIU, in collaboration with the DAO, has established successful welfare fraud detection, prevention, collections and prosecution programs. Added fraud incentive funding will allow the PIU/SIU and DAO to enhance their efforts by augmenting staff in the PIU/SIU and create a separate agreement with the DAO for reimbursement of fraud prosecution. The DAO agreement will be based on referrals from the HSD, reimbursable costs supported by time study and direct cost invoices that are tied to HAS referrals.

HSD's current IHSS Fraud Referral Process consists of:

The Adult Services Supervisors currently keep and review all IHSS payroll reports. Suspected fraud is referred to the PIU/SIU using MAR SIU 001 form. A record of fraud referrals are kept in an access data base. This data base is updated by PIU/SIU support staff. The data base includes information of referrals made by PIU/SIU staff to the DAO and DCHS.

PIU/SIU staff meet with DHCS Medi-Cal Fraud investigator at a minimum of once a quarter and as needed. A determination of the status of the referral will be entered on the data base (e.g. rejected for investigation, accepted for investigation, request for additional information, etc.). If the referral is rejected, the reason for rejection will be noted on the data base. When DHCS has completed follow-up on the case, the date and results of DHCS action will be entered on the data base (prosecuted, plea bargained, etc).

Most of IHSS's fraud confrontation is done by the Adult Services Supervisors who alert providers to potential overpayments because of fraudulent activity. The supervisors remind them that fraudulent activity is generally referred to PIU/SIU or the DA's Office. However, if the overpayment was made due to an error, they offer the provider the opportunity to pay the money back. Most of our activities are informal.

Social Workers also refer cases for fraud investigation. The Social Worker completes the MAR SIU 001 form and attaches supporting documentation. The supervisor reviews the documentation with staff and determines whether the referral is valid. If the case is valid, the fraud referral form and supporting documentation is forwarded to the PIU/SIU for investigation.

Under the new IHSS Anti-Fraud Activities Proposal:

Mariposa County proposes to use the new IHSS anti-fraud funds to augment PIU/SIU staffing with one full time program integrity coordinator, one part time clerk and reimbursable activities in the DAO.

The clerk's duties will be mostly administrative, and include aspects of IHSS program integrity, reporting, and overpayment calculations. The clerk's duties will include; cross checking of fraud referrals against other public assistance programs, conducting various computer-based fraud identification matches (jail matches for providers/recipients, death matches, hospitalization/TARS reports, out-of-county provider matches, etc). The clerk will work with the Adult Services Supervisors to review the over 300-hour report. All

providers working more than 300 hours will be reviewed for fraud indicators. The clerk will also work with IHSS QA staff to study error rate issues. The clerk will also be tasked to provide requested local information to other IHSS staff as requested. Additionally, the clerk will be assigned to track the enforcement of fraud based IHSS provider deductions, Court Ordered restitution (including fees, fines and penalties) and fraud collections. The clerk will be housed within the HSD's PIU/SIU.

Currently, the PIU/SIU refers suspected prosecutable fraud cases to the DAO. The referral process used by PIU/SIU was developed during the implementation of the ISAWS system and will continue through the implementation of the C-IV program. The new PIU/SIU will be given the task of documenting policies and guidelines that will be implemented for IHSS and all fraud referrals.

In order to share relevant information with DCHS, the clerk will be tasked to prepare and forward reports to the PIU/SIU and the regional DCHS office for their information/review under newly established guidelines.

County's Proposed Budget for Utilization of Funds

Attachment A

Description of how the County will integrate other program integrity efforts into the plan:

The core of the team will consist of a Program Integrity Coordinator and a clerk, who will work closely with the PIU/SIU and all IHSS staff, the DAO investigations unit, DCHS investigators, prosecutors, doctors, IHSS providers and recipients to coordinate activities that will educate providers and recipients and ensure that reportable fraud receives close attention. In the broadest terms, these many elements are all necessary for public assistance fraud prevention and for maintaining program integrity of IHSS.

It is essential for the core-team members to be trained by regional DCHS staff, IHSS social workers and supervisors in program mechanics and eligibility issues. These discussions should help to identify and reduce/prevent incidents of overpayment and underpayment early in case management. This will lead to cross training between the PIU/SIU and IHSS staff in fraud identification and prevention, as well as keeping DCHS "in the loop" by sharing information on fraud activity in Mariposa County.

For example, the social workers can train the PIU/SIU staff in detail regarding the needs assessment standard and mechanics of the assessment. The PIU/SIU will train the social workers to identify fraud indicators. Communications between the PIU/SIU and the regional DHCS investigators will help to identify Medi-Cal Fraud Indicators in the IHSS Fraud cases. Finally, the DAO can train PIU/SIU team members to understand the elements of fraud and court procedure.

The PIU/SIU, will be providing outreach and training to other units within HSD, the

Housing Authority, and other County agencies that touch upon the IHSS system, and/or public assistance fraud in general.

The PIU/SIU will also provide outreach to members of the public, starting with IHSS providers, but including doctors and community service organizations. IHSS and Public Authority are expecting significant changes will need to be implemented to their current operations based on CDSS requirements for provider enrollment, criminal background checks/ live scan and the orientations. They anticipate that all current paid providers will have until 7/1/2010 to complete the new provider process. Any new providers that want to start working for a current recipient or potential providers that want to enroll on the Public Authority Registry will have to complete the proposed process before they are eligible to become a paid provider.

Mariposa County has about 200 current providers. We enroll monthly about four new providers to work with current and new recipients and Public Authority has two per month potential providers that want to enroll on the Registry. Current plans are to schedule two days per month for the provider orientation. The orientation will probably be 1.5 – 2 hours in length, but this will depend on the CDSS Orientation. The PIU/SIU will participate in these orientations as needed by IHSS/Public Authority.

The PIU/SIU, along with IHSS supervisors, will also participate in the quarterly DAO/HSD trainings/roundtable discussions on public assistance fraud. At these meetings, participants will review lines of communication, forms, processes, policies, etc., within the public assistance fraud arena, including IHSS fraud, in order to identify shortcomings, make improvements, etc. This working group should also include a DHCS representative as needed.

Annual Outcomes Report:

Mariposa County HSD-PIU/SIU and IHSS staff will provide an annual Outcomes Report by August 1 of each year. This report will provide information gathered from the PIU/SIU that identifies the unit's activities, and shows data and outcomes associated with the County's efforts to mitigate, prevent, detect, investigate and prosecute IHSS fraud (including under and overpayments) during the previous fiscal year.

The report will also include all referrals to the DAO, CDSS and DHCS, as well as all known outcomes from these referrals.

Attachment A

County Proposed Budget for Utilization of Funds

Federal Funds	State Funds	County Funds (HSD Contribution)	Total IHSS Fraud Funding Designated for Mariposa County
\$16,805	\$13,820	\$5,923	\$36,548

Expense	Description	Projected Cost
Program Integrity Coordinator	.25 FTE	\$17,383
Account Clerk	.25 FTE	\$12,080
Equipment, Supplies, etc.	Office Expenses	\$1,085
	Travel/Training	\$1,000
DAO MOU	Direct Costs	\$5,000
	Total	\$36,548

Enclosure D

Mariposa County

County: _____

Overpayments identified by County QA		04/05	05/06	06/07	07/08	08/09
Total Amount per Fiscal Year:		782	Unk	Unk	Unk	Unk
Number of Instances:		2	3	3	2	1
Breakdown of Causes	Provider:	2	3	3	2	
	Recipient:					1
	County Error:					
	Unknown:					
	Other:					

Underpayments identified by County QA		04/05	05/06	06/07	07/08	08/09
Total Amount per Fiscal Year:						
Number of Instances:		0	0	0	0	0
Breakdown of Causes	Provider:					
	Recipient:					
	County Error:					
	Unknown:					
	Other:					

Fraud Referrals/Outcomes		04/05	05/06	06/07	07/08	08/09
Number of referrals to DHCS:		0	0	0	0	0
Number handled locally by DA:		1	0	0	1	0
Number of convictions:		1				
Court Ordered Restitution:		1				
Amount of funds involved in the convictions:		782				
Amount of funds recovered:		782				
Amount of funds pending recovery:						
Basis for the Conviction:						
Individuals Responsible	Recipient:					1
	Provider:	2	3	3	1	
	County Staff:		1			
	Other:					
	Unknown:					

Enclosure D
Page Two

Utilization of County DA for Fraud		04/05	05/06	06/07	07/08	08/09
Documented referrals to DA*		1	0	0	1	0
Outcomes	Accepted:	1			1	
	Rejected:					
	Pending:					
	Completed Investigation					
	No Fraud:					
	Restitution Action:					
	Referred for Prosecution:	1				
	Criminal Charges Filed:	1				
	No Charged Filed:				1	
	Convictions:	1				
	Acquittals:					
	Dismissals:					
	Pending Investigation:					
	Restitution					
	Court Ordered:	1				
	Restitution Action:	1				
	Fines					
	Prosecutions Completed	1				
	Convictions	1				
	Misdemeanor					
	Felony	1				

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Name of County Welfare Department Representative: James Rydingsword, Director

County Welfare Department Representative Telephone Number: (209) 966-2000

Email Address: jrydings@mariposacounty.org

Budget Justification

MARIPOSA County's Fraud Funding Plan for FY 2009-10

Budget Section	Total
A. Personnel Costs (includes employee benefits)	\$ 29,463
B. Operating Expenses	\$ 1,085
C. Equipment Expenses	\$ 0
D. Travel/Per Diem and Training	\$ 1,000
E. Subcontracts and Consultants	\$ 5,000
F. Other Costs	\$ 0
G. Indirect Expenses	\$ 0
Total Expenses	\$ 36,548

A. Personnel Costs (including employee benefits)	Total Budget
<p>Title: Program Integrity Coordinator</p> <p>Salary Calculation: Base salary = 40,123.65 plus longevity stipend of 2,407.42 plus benefits of 27,000 = 69,531.07. FTE allocation is .25 = total budget 17,383.</p> <p>Duties Description: The Coordinator's duties include referral verification, preliminary research and document gathering. Provide liason work between the fraud investigator and IHSS staff. Provide oversight to account clerk functions. Verify and submit reports to the various state agencies.</p>	\$ 17,383
<p>Title: Account Clerk</p> <p>Salary Calculation: Base salary = 29,283 plus benefits of 19,038 = 48,321. FTE allocation is .25 = total budget 12,080</p> <p>Duties Description: The clerk's duties will be mostly administrative, and include aspects of IHSS program integrity, reporting, and overpayment calculations. The clerk's duties will include; cross checking of fraud referrals against other public assistance programs, conducting various computer-based fraud identification matches (jail matches for providers/recipients, death matches, hospitalization/TARS reports, out-of-county provider matches, etc). The clerk will work with the Adult Services Supervisors to review the over 300-hour report. All providers working more than 300 hours will be reviewed for fraud indicators. The clerk will also work with IHSS QA staff to study error rate issues. The clerk will also be tasked to provide requested local information to other IHSS staff as requested. Additionally, the clerk will be assigned to track the enforcement of fraud based IHSS provider deductions, Court Ordered restitution (including fees, fines and penalties) and fraud collections.</p>	\$ 12,080
<p>Title:</p> <p>Salary Calculation:</p> <p>Duties Description:</p>	\$
<p>Title:</p> <p>Salary Calculation:</p> <p>Duties Description:</p>	\$
<p>Title:</p> <p>Salary Calculation:</p>	\$

Duties Description:	
Title:	\$
Salary Calculation:	
Duties Description:	
Total Personnel Costs:	\$ 29,463

B. Operating Expenses	Total Budget
Title: General office expenses	\$ 1,085
Description: Office supplies, forms, communication expenses.	
Title:	\$
Description:	
Title:	\$
Description:	
Total Operating Expenses:	\$

C. Equipment Expenses	Total Budget
Title:	\$
Description:	
Title:	\$
Description:	
Title:	\$
Description:	
Total Equipment Expenses:	\$

D. Travel/Per Diem and Training	Total Budget
Title: Travel and Training	\$ 1,000
Description: County per diem for meals is \$44.00 a day for out of county travel. County vehicles will be utilized for travel and fuel will be charged accordingly. This will include travel and lodging charges for quarterly meetings	
Title:	\$

Mampasa

Description:	
Title:	\$
Description:	
Total Travel/Per Diem and Training:	\$ 1,000

E. Subcontracts and Consultants	Total Budget
Title: MOU with District Attorney	\$ 5,000
Description: District Attorney's office will sign a MOU with the Human Services department for reimbursement of prosecution activities.	
Title:	\$
Description:	
Title:	\$
Description:	
Total Subcontracts and Consultants:	\$ 5,000

F. Other Costs	Total Budget
Title:	\$
Description:	
Title:	\$
Description:	
Title:	\$
Description:	
Title:	\$
Description:	
Title:	\$
Description:	
Total Other Costs:	\$

G. Indirect Expenses	Total Budget
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Title: Description:	\$
Title: Description:	\$
Total Other Costs:	\$